

Express Mail No. EL048587174US

FORM PTO-1300 (REV 11-98)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER  <b>16966-00002</b>
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/424685</b>
INTERNATIONAL APPLICATION NO. <b>PCT/JP98/01440</b>	INTERNATIONAL FILING DATE <b>30 March 1998</b>	PRIORITY DATE CLAIMED <b>None</b>	
TITLE OF INVENTION <b>INFORMATION RECORDING/PROCESSING DEVICES AND MACHINE/SYSTEM CONTROLLING DEVICES EQUIPPED WITH FINGERPRINT SENSORS</b>			
APPLICANT(S) FOR DO/EO/US <b>TAMORI, Teruhiko</b>			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li><input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <b>SUBMITTED FOR IDENTIFICATION PURPOSES ONLY.</b></li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>			
<b>Items 11. to 16. below concern document(s) or information included:</b>			
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input checked="" type="checkbox"/> Other items or information: <b>Certificate of Express Mail Return Postcard</b></li> </ol>			

Form PTO-1390 (REV 11-98) page 2 of 2

09/424685

420 Rec'd PCT/PTO 29 NOV 1999

16966-2  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: TAMORI, Teruhiko

Serial No.: To be assigned

Filed: Herewith

For: INFORMATION  
RECORDING/PROCESSING DEVICES  
AND MACHINE/SYSTEM  
CONTROLLING DEVICES EQUIPPED  
WITH FINGERPRINT SENSORS

Art Unit: To be assigned

Examiner: To be assigned

CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231, on NOVEMBER 29, 1999.



Alan L. Cassel, Reg. No. 35,842  
Express Mail No. EL048587174US

AMENDMENT

Hon. Assistant Commissioner for Patents  
Washington, D.C. 20231

Prior to the examination of this Patent Application and the counting of claims herein, please amend the Application as follows:

IN THE CLAIMS

1. (Amended) A flat information recording/processing device [that is characterized by having] comprising a thin fingerprint sensor [for detecting fingerprints] and a conversion unit [that converts] configured to convert [the] fingerprint data

09/424685 0111100

detected by the fingerprint sensor into digital electrical signals.

2. (Amended) A flat information recording/processing device [that is characterized by having] comprising a thin fingerprint sensor [for detecting fingerprints], a memory unit [that stores the] configured to store fingerprint data detected by the fingerprint sensor as registered fingerprint data, and a fingerprint matching unit [that compares] configured to compare newly detected fingerprint data with the registered fingerprint data stored in the memory unit.

3. (Amended) A flat information recording/processing device [that is characterized by having] comprising a thin fingerprint sensor [for detecting fingerprints], a memory unit [that stores the] configured to store fingerprint data detected by the fingerprint sensor as registered fingerprint data, and a fingerprint matching unit [that compares] configured to compare newly detected fingerprint data with the registered fingerprint data stored in the memory and [outputs] to output a ["Yes"] signal indicative of when there is a match of the fingerprints in the comparison.

6. (Amended) A flat information recording processing device [that has] comprising a portable information recording unit equipped with a thin fingerprint sensor [for detecting fingerprints], a first memory unit [that stores the] configured to store fingerprint data detected by the fingerprint sensor as registered fingerprint data and a second memory unit in which user-specific information is kept, and an information processing unit that is equipped with a fingerprint matching unit [that compares] configured to compare newly detected fingerprint data with the registered fingerprint data stored in the first memory

unit and a display unit [that displays] configured to display the user-specific information stored in the [above-mentioned] second memory unit and information processing unit [which can display the above] configured to display the user-specific information in the [above] display unit when there is a match of fingerprints.

7. (Amended) [The] An information recording/processing unit [described] in accordance with claim 6 [above] in which the information processing unit [is capable of reading out, writing in, and rewriting] is configured to read out, to write in, and to rewrite [the] information stored in the second memory unit of the information recording unit.

9. (Amended) A machine/system control device [that is characterized by having] comprising a fingerprint sensor [for detecting finger prints], a fingerprint matching unit [that compares] configured to compare fingerprint data detected by the [above-mentioned] fingerprint sensor with pre-registered fingerprint data, and a control mechanism [that controls] configured to control [the functions or] operation of the machine/system control device [according to] in accordance with [the] user-specific information [specified by] in accordance with a sensed [the] fingerprint, when there is a match of [fingerprints] fingerprint data with pre-registered fingerprint data.

10. (Amended) A machine/system control device [that is characterized by having] comprising a fingerprint sensor [for detecting fingerprints], a first memory unit [that stores the] configured to store fingerprint data detected by the fingerprint sensor as registered fingerprint data, a fingerprint matching unit [that compares] configured to compare fingerprint data detected by the [above-mentioned] fingerprint sensor with [the]

registered fingerprint data stored in the memory unit, and a control mechanism [that controls the functions or] configured to control operation of the machine/system control device [according to the] in accordance with user-specific information [specified] corresponding to [by] the fingerprint, when there is a match of [fingerprints] fingerprint data with the registered fingerprint data.

PLEASE ADD THE FOLLOWING NEW CLAIMS

13. A flat information recording/processing device in accordance with claim 1 further comprising a second memory unit in which specific information about each user is stored.

14. A flat information recording/processing device in accordance with claim 2 further comprising a second memory unit in which specific information about each user is stored.

15. A flat information recording/processing device in accordance with claim 1 in which the fingerprint sensor is a surface pressure input type sensor.

16. A flat information recording/processing device in accordance with claim 2 in which the fingerprint sensor is a surface pressure input type sensor.

17. An information recording/processing unit in accordance with claim 6 and further comprising a second thin fingerprint sensor and a third memory unit configured to store fingerprint data detected by the second fingerprint sensor as registered fingerprint data.

18. A machine/system control device in accordance with claim 9 in which the user-specific information is age.

19. A machine/system control device in accordance with claim 9 in which the fingerprint sensor is a surface pressure input type fingerprint sensor.

20. A method for accessing a database, said method comprising the steps of:

registering fingerprint data in a memory;  
pressing a finger of a user on a fingerprint sensor module to offer a fingerprint; and  
conditioning access to the database on a match of the offered fingerprint to fingerprint data in the memory.

21. A method in accordance with claim 20 and further comprising the steps of:

reading identification data from a memory of an information recording/processing device carried by a person, the data read including fingerprint data;  
pressing a finger of the person on a fingerprint sensor module to obtain a fingerprint; and  
comparing the obtained fingerprint of the person to the fingerprint data read from the information recording/processing device.

22. A method in accordance with claim 21 and further comprising the step of displaying a verification when the obtained fingerprint of the person matches the fingerprint data read from the information recording/processing device.

23. A method in accordance with claim 22 and further comprising displaying specific information about the person verified.

24. A method in accordance with claim 21 and further comprising the step of updating information stored in the memory of the information recording/processing device.

25. A method for controlling access to a vehicle, said method comprising:

placing a finger on a fingerprint sensor module of a remote control module;

transmitting minutiae data of the fingerprint to a receiver mounted in the vehicle;

comparing the minutiae data to data stored in a database of registered drivers; and

conditioning opening of a door of the vehicle upon a match of the minutiae data to data stored in the database of registered drivers.

26. A method in accordance with claim 25 and further comprising the step of limiting a speed of the vehicle in accordance with a matched registered driver.

27. A method for identifying an individual comprising the steps of:

recording fingerprint data of the individual as registered fingerprint data in a memory unit of a flat information recording/processing device;

sensing a fingerprint of the individual on a fingerprint sensor of the flat information recording/processing device; and

comparing the sensed fingerprint of the individual to the registered fingerprint data using a fingerprint matching unit of the flat information recording/processing device.

28. A method in accordance with claim 27 further comprising the step of generating a signal from the flat information recording/processing device indicative of a match of the sensed fingerprint data and the registered fingerprint data.

29. A method for controlling operation of a machine comprising the steps of:



sensing a fingerprint of a user;  
comparing the sensed fingerprint with preregistered fingerprint data; and  
controlling access to the machine in accordance with whether the sensed fingerprint data matches the preregistered fingerprint data.

30. A method in accordance with claim 29 further comprising the step of controlling operation of the machine in accordance with user-specific information, when there is a match of fingerprints.

Please cancel Claims 4, 5, 8, 11, 12.

**Remarks**

Claims 1, 2, 3, 6, 7, 9, and 10 have been amended. Multiple dependent claims 4, 5, 8, 11, and 12 have been cancelled. Claims 13-30 have been added.

This Preliminary Amendment is submitted for the purposes of removing multiple dependencies in the claims and of conforming the claim language to usual U.S. practice conventions. In addition, a number of new claims have been added.

The following newly added claims correspond to the cancelled multiple dependent claims:

Newly added claims 13-14 correspond, in part, to cancelled claim 4.

Newly added claims 15-16 correspond, in part, to cancelled claim 5.

Newly added claim 17 corresponds, in part, to cancelled claim 8.

Newly added claim 18 corresponds, in part, to cancelled claim 11.

Newly added claim 19 corresponds, in part, to cancelled claim 12.

In view of the foregoing amendments and remarks, all the claims now active in this application are believed to be in condition for allowance. Reconsideration and favorable action is respectfully solicited.

Respectfully Submitted,



Alan L. Cassel  
Registration No. 35,842  
ARMSTRONG TEASDALE LLP  
One Metropolitan Square, Suite 2600  
St. Louis, Missouri 63102-2740  
(314) 621-5070

Applicant or Patentee: Teruhiko TAMORI

Serial or Patent No.: 09/424,685

Filed or Issued: November 29, 1999

Title: INFORMATION RECORDING/PROCESSING DEVICES AND MACHINE/SYSTEM  
CONTROLLING DEVICES EQUIPPED WITH FINGERPRINT SENSORS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(e)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN ENIX CORPORATION

ADDRESS OF CONCERN 31-8, Yoyogi 4-chome, Shibuya-ku, Tokyo 151-0053 Japan

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled:

INFORMATION RECORDING/PROCESSING DEVICES AND MACHINE/SYSTEM CONTROLLING  
DEVICES EQUIPPED WITH FINGERPRINT SENSORS

by inventor(s) Teruhiko TAMORI, described in

- ☐ the specification filed herewith  
☒ application serial no. 09/424,685, Filed November 29, 1999  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name \_\_\_\_\_

Address \_\_\_\_\_

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Yasuhiro FUKUSHIMA

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING 31-8, Yoyogi 4-chome, Shibuya-ku, Tokyo 151-0053 Japan

SIGNATURE Y. Fukushima

DATE December 27, 1999

09424685-01100

Information recording/processing devices and machine/system  
controlling devices equipped with fingerprint sensors

Technical Filed

The present invention deals with information recording/processing devices and machine/system controlling devices that are equipped with fingerprint sensors.

Background Art

Certain systems and machines require highly restricted operation and management in which unauthorized use is to be prevented and secrecy of the information being handled is to be ensured. The identity of the persons who operate the system/machine (hereinafter referred to simply as users) becomes an important factor. Traditionally, certain codes, passwords, ID numbers, etc., that are specific to the user, have been employed. However, long code numbers are difficult to remember, whereas short ones are easily deciphered, and the passwords and ID numbers are always at risk of being found out by others. Even codes are not completely immune from being deciphered by others, and it is generally considered that a fool-proof and perfect method can not be found.

In recent years, however, "fingerprints", which every individual is born with and which have the characteristics of being unique to each individual and permanent, are drawing

greater attention as a means of identifying a person, a method which does not have the above-mentioned shortcomings. For example, Japanese Patent Unexamined Publication No. 6-274759 (274759/1994) and Japanese Patent Unexamined Publication No. 10-21400 (21400/1998) describe fingerprint matching systems that compare a fingerprint input by a user of the system or machine with pre-registered fingerprints of authorized users, and allow the user to operate the device if there is a match that confirms the identity of the user. This type of fingerprint-based user identification system is sufficiently effective for many applications.

The detecting or reading of the fingerprint is however done optically in conventional fingerprint matching systems, i.e., light is shone on the fingerprint and the reflected light is received by photoelectric elements such as CCDs and converted into electrical signals. These systems are readily affected by the presence of sweat, dirt, moisture, etc. and also by external light in the case of outdoor applications, besides having other problems like limitations in the environment and mode of application and difficulty in miniaturization because of the requirement of a light source, mirror, prism, etc.

Presently, there is a trend for many systems and devices to provide increased performance with a greater number of functions, and for the user to be one or several individuals including the

owner, depending on the application. This has made it desirable to select or limit the functions or to change the particulars of processing or management depending for instance on the age of the authorized user or the status of other users. To do this with conventional systems and machines, the user or persons other than the user have to set or change the desired conditions depending on the requirement either before operating the system or during its operation, which is quite cumbersome. If the data about the use of the system or machine by each user is available, this is often very convenient for management, but with conventional systems, separate operation or processing is required for this.

#### Disclosure of Invention

The first objective of the present invention is to provide a thin, light weight and compact information recording/processing device which has a user identification function, taking note of the availability of thin fingerprint detectors that are different from the conventional optical type detectors.

A second objective is to provide a machine/system control device that can verify the identity of the user with the help of a fingerprint and limit or control the operation or functions of the concerned system/machine or manage it, depending on the fingerprint offered for verification.

In the present invention, to achieve the first objective described above, a thin fingerprint sensor that detects

fingerprints and a conversion unit that converts the fingerprint data detected by the sensor into digital electric signals are provided in a flat information recording/processing device.

In addition to this, the flat information recording /processing device can be provided with a thin fingerprint sensor that detects fingerprints, a memory unit that stores fingerprint data that is detected by the fingerprint sensor as registered fingerprint data, and a fingerprint matching unit that matches the registered fingerprint data stored in the memory unit with the offered fingerprint data detected by the fingerprint sensor.

Moreover, a thin fingerprint sensor that detects fingerprints, a memory unit that stores fingerprint data that is detected by the fingerprint sensor as registered fingerprint data, and a fingerprint matching unit that matches the registered fingerprint data stored in the memory unit with the offered fingerprint data detected by the fingerprint sensor can be provided in the flat type information recording/processing device and the system so structured that when there is a match of the fingerprint, an output signal indicates that there is a match.

To achieve the second objective, the device or system is provided with a fingerprint sensor that detects fingerprints, a fingerprint matching unit that matches the pre-registered fingerprint data stored in the memory unit with the offered fingerprint data detected by the fingerprint sensor, and a

control mechanism that controls the operation or the function of the machine or system on the basis of the specific information about the user identified by the fingerprint, when there is a fingerprint match.

Alternatively, the machine or system is equipped with a fingerprint sensor that detects fingerprints, a first memory unit that stores fingerprint data that is detected by the fingerprint sensor as registered fingerprint data, a fingerprint matching unit that matches the pre-registered fingerprint data stored in the memory unit with the offered fingerprint data detected by the fingerprint sensor, and a control mechanism that controls the operation or the function of the machine or system on the basis of the specific information about the user identified through the fingerprint, when there is a fingerprint match.

#### Brief Description of the Drawings

Figure 1 (a) depicts a driver's license that is an example of an information recording/processing device, which is a first embodiment of the present invention, and Figure 1 (b) depicts a portable read/write device that reads the information stored on the license and writes new information on it.

Figure 2 is an exploded perspective view of an example of the thin fingerprint sensor used in the newly invented information recording/processing device and machine/system control device.



Figure 3 is a block diagram of the license and the portable read/write device showing its functional configuration.

Figure 4 is a side view of a car illustrating the concept of a driving system that is an example of the second mode of application of the present invention.

Figure 5 is a block diagram of the car driving system.

Figure 6 is a flow chart illustrating the functioning of the car driving system of Figure 5, (a) is the flow chart of the door unlocking function, and (b) is the flow chart of the vehicle speed control function.

#### Best Mode of Carrying Out the Invention

We shall now explain the present invention with reference to the drawings.

Figure 1 (a) shows the external appearance of a driver's license that is an example of an information recording/processing device which is a first embodiment of the present invention, and Figure 1 (b) shows the external appearance of a portable read/write device that reads the information stored on the license or writes new information to it.

The driver's license **1**, which is the information recording unit, has an IC memory embedded in the case **11** preferably made of plastic, a part of its surface has an exposed terminal **12** for connecting with an external terminal, and it has a fingerprint

sensing module 13 through which the fingerprint of the owner is input.

The portable read/write device 2, which is the information processing unit, is in the possession of a person (like a police officer) with the authority to inspect or modify the information in the license, and the front upper surface of the plastic case 21 has a slot 22 into which the license 1 is inserted. The central upper part of this casing has a liquid crystal display unit 23 that displays the information stored in the license or information that will be written on it, the rear part of the casing has the keys 24 used for inspection, reading, or writing of information on the license, and the rear end of the casing has a fingerprint sensor module 25 for inputting fingerprints. The fingerprint sensor modules 13 and 25 have thin surface pressure input panels, for instance, of the type described in Japanese Patent No. 2,557,795, the disclosure of which is incorporated by reference. This surface pressure input panel may preferably be an active matrix type display system in which thin film transistors (TFTs) drive the liquid crystals. The panel has a configuration of the type shown in Figure 2, with a pressure sheet 100, preferably formed by vapor deposition of a conductive film 100a on the back side of an insulator film made of a material like PET (polyethylene terephthalate), placed over a circuit board 200. The circuit board 200 preferably has an

amorphous silicon film formed on an insulator base plate 200a preferably made of glass, ceramic, etc., a number of TFTs ( thin film transistors) 200b, drain wires 200c and gate wires 200d formed by a well-known photo-lithographic technique, and conductive contact plates 200e, made of ITO (indium tin oxide) for instance, formed by vapor deposition. The drain wires 200c and gate wires 200d are arranged in a matrix pattern and function as scanning electrode wires when a scanning signal is applied, as will be explained later. Because the suitable gap for the drain wires 200c and gate wires 200d is 20-100 microns for fingerprint detection, a number of unit detection elements with the drain and gate of each TFT connected to the drain wire 200c and gate wire 200d respectively and the source connected to the conductive contact plate 200e are preferably formed on the circuit board 200. The drain wires 200c and the gate wires 200d are respectively gathered at sites A and B of the insulation base plate 200a which are connected to an external circuit connector not shown in the Figure, as would be known by those of ordinary skill in the art.

A panel with 15 x 15 mm area for pressing the finger tip and thickness 1 mm has been prepared and used as the fingerprint sensor module with the structure described above. When a finger is placed on this surface pressure sensor panel and the panel pressed lightly, the electrically conductive contact plate 200e of the unit detector element located exactly below or almost

below a ridge of the fingerprint becomes electrically connected with the conductive film **100a** on the backside of the pressure sheet **100**. However, the electrically conductive contact plate **200e** of a unit detector element exactly below or near a valley of the fingerprint does not become electrically connected with the conductive film **100a**. So, when an x-direction resistor is connected to the drain wires **200c** and a y-direction resistor is connected to the gate wires **200d** and scanning signals are applied sequentially from each resistor at certain separate timings, the ridges and the valleys at the position of each unit detection element can be detected and thus the fingerprint pattern as a whole can be sensed.

Figure 3 is a block diagram of the license **1** and the portable read/write device **2** showing the functional configuration.

The license **1** has a memory **A** where the fingerprint data of the owner may be preferably stored and a memory **B** in which the address, name, sex, and date of birth of the owner, the category of license, history of accidents (nature of the accidents and places and dates of occurrence) and the current points score, etc. that are specific to the owner of the license may be preferably maintained. Memories **A** and **B** are preferably IC memories. The specific information about the owner of the license is preferably stored in the memory **B** before issuing the license **1**.

APR 1968 001100

Apart from the earlier mentioned display unit 23, keys 24, and fingerprint sensor module 25, the portable read/write device 2 has a memory C 26, which stores the fingerprint data of a person (a police officer, for instance) who has authority to inspect or rewrite the information in the license, a matching unit 27 where the offered fingerprint data and the pre-registered fingerprint data are compared, and a buffer 28 where the data taken out from the license 1 is temporarily stored. We shall now explain how the above-described license system is used.

Police officers who are likely to use the portable read/write device 2 in the course of performing their duty register their fingerprint data and keep it the memory C. Now, if a traffic accident occurs, the police officer who deals with the accident turns on the power source (not shown in the Figure) of the portable read/write device 2 and inputs his fingerprint data by pressing his finger on the fingerprint sensor module 25. The fingerprint matching unit 27 then compares the offered fingerprint with the fingerprint data in the memory C, and if there is a match, it confirms that the officer is indeed an authorized person, and assumes the standby condition, permitting the display unit 23 and the keys 24, etc., to operate.

With the portable read/write device in this condition, the officer demands to see the driver's license, inserts it into the slot 22 of the read/write device 2 as indicated by the broken

SECRETED BY 1000

line in Figure 2, and directs the driver to place his or her finger on the fingerprint sensor 13 of the license 1. In this manner, the fingerprint data of the driver is taken into the buffer 28 of the read/write device 2. The portable read/write device 2 reads out the fingerprint data of the driver from the memory A and specific information about the driver from memory B via the connecting terminal 12 of the license 1, temporarily stores the data in these buffer 28, and compares the fingerprint data offered through the fingerprint sensor 13 and that which reads out from memory A in the matching unit 27, and verifies the identity of the owner and displays the specific information about the owner in the liquid crystal display unit 23 if there is a match.

The police officer inputs particulars about the accident by using the keys 24 and updates the points score, etc. This new information is displayed on the display unit 23 and stored in the memory B of the license 1.

In the example described above, a liquid crystal driving panel was used as the fingerprint sensor module. However, a piezoelectric sensor panel in which the frequency of the piezoelectric film changes depending on the fingerprint pattern (Japanese Patent No. 2,557,796), a magnetic sensor panel in which the magnetic resistance changes (Japanese Patent No. 2,520,848), a system in which the contact resistance changes (Japanese Patent

No. 2,069,288), a system in which the resistance changes by distortion, and other such thin surface pressure input sensor panels can be used. The method described in Japanese Patent No. 2,030,279, which employs the microprocessing technology generally used for producing semiconductor devices, can be employed for preparing the fingerprint sensor module.

In the above example, the fingerprint matching unit and the display unit are provided in the portable read/write device. But these may be provided in the license itself so that the personal information about owner of the license can be displayed on the display unit at the time of matching of the fingerprints. In that case, the power source and other necessary circuits need to be built into the license.

In the description given above we have used a license as an example of a portable card. However, the present invention can be applied with similar effect to other cards and booklets, such as a citizenship card issued by a country or a local government, pension booklets, health insurance certificates, passports, library cards, credit cards, etc.

Figure 4 is a conceptual diagram of a car driving system that is machine/system control device of the second mode of application of the present invention.

The car driving system consists of a remote controller 3, a photocell 4a for receiving infrared light installed on the

outside of the driver's side door of the car, data input keys **4b** installed on the dashboard inside the car, and a control circuit **4c** attached below the console. The photocell **4a** which is meant for receiving data from the remote controller **3**, the data input keys **4b**, and the control circuit **4c** constitute the vehicle velocity control circuit.

Figure 5 is a block diagram showing the configuration of the circuits of the car driving system. The remote controller **3** has a fingerprint sensor module **31** that detects fingerprint data when a finger is placed over it, a fingerprint data processing unit **32** that extracts the characteristic point called minutiae of the fingerprint from the detected fingerprint data, and a transmission unit **33** that sends out the minutiae data in the form of an infrared beam, and also a built-in battery for the power supply.

Apart from the liquid crystal driving type panel shown in Figure 2, piezoelectric, magnetic, contact resistance type or the like thin surface pressure input sensor panels can be used as the fingerprint sensor module **31**, as explained earlier for the first mode of application of the invention. Because of these features, a remote controller that is significantly smaller, thinner and lighter weight than conventional optical type fingerprint sensors can be created.



On the other hand, the receiver unit 4 on the main body of the car receives, through the photocell 4a, the infrared beam transmitted by the remote controller 3 and outputs it as an electrical signal to the control circuit 4c. The control circuit 4c has as its components, a fingerprint registering memory 41 which is non-volatile memory like an E<sup>2</sup>PROM that remembers the minutiae data of the fingerprint of the driver (or drivers), a fingerprint matching unit 42 that compares an offered fingerprint with the fingerprints stored in the fingerprint register memory 41, a personal information memory 43 that remembers information specific to the driver (name, sex, age, license number, category of the license, upper speed limit, etc.), a vehicle speed controller 44 that monitors the engine RPM, the extent to which the accelerator has been pressed and the vehicle speed, and outputs the acceleration signal, and an acceleration deciding unit 45 which decides whether to permit acceleration or not, on the basis of driver-specific personal information. The personal information of each driver and the minutiae data of his or her fingerprint are registered beforehand through the data input keys 4b.

We shall now explain the functioning of the car driving system having the structure described above.

Figure 6 shows a flow chart illustrating the functioning of the car driving of this system. Figure 6(a) is the flow chart of

the door unlocking action and 6(b) is the flow chart of the vehicle speed control function.

At the start of driving, the driver places his or her finger on the fingerprint sensor module 31 while aiming the remote controller 3 at the receiver photocell 4a on the driver's side door of the car (S-1). When the finger is placed on the sensor module, power supply to the remote controller 3 starts automatically, and the transmission unit 33 of the remote controller 3 transmits the minutiae data of the fingerprint in the form of an infrared beam (S-2).

When the receiver photocell 4a on the door of the car, the power source of which is always on, receives the infrared beam, power is supplied to the fingerprint register memory 41 and the fingerprint matching unit 42 and at the same time the minutiae point data is converted into an electrical signal and transmitted to the fingerprint matching unit 42 of the control circuit 4c. The fingerprint matching unit 42 reads out the minutiae data of the fingerprints of registered drivers kept in the fingerprint register memory 41 (S-3) and compares them with the minutiae data of the fingerprint received from the remote controller 3 (S-4). If there is a match, the system assumes that the driver has been authenticated (S-5) and outputs the door unlocking signal to the door unlocking mechanism 6, and then the door on the driver's side is unlocked (S-6).

The system is made so that when the door is unlocked, power is supplied to the whole of the control circuit **4c** and the personal information stored in the memory **43** about the driver who has been authenticated by the fingerprint matching is read into the acceleration deciding unit **45** (F-1).

When the engine is started after this, power is supplied to the vehicle speed controller **44** of the control circuit **4c** and the vehicle starts running through the standard procedures for driving. While the car is running, the engine rpm, car speed, and the extent to which the accelerator has been applied are detected and fed into the vehicle speed controller **44** (F-2), and the vehicle speed controller **44** outputs an acceleration signal calculated from this information using a pre-determined formula or table.

The acceleration deciding unit **45** outputs a vehicle speed limiting signal when the vehicle speed signal output from the speed controller **44** exceeds the driving speed limit fixed for that driver (for example, the upper limit may be fixed at 70 kph for a driver **A** who is 60 years or older) (F-3 and F-4). This speed limiting signal is led to an electronic fuel injection control device and the vehicle velocity is maintained below the limit (at not more than 70 kph) by cutting down the amount of fuel injected into the engine (F-5). If the speed of the car is less than 70 kph, it is increased by ordinary throttling

controller (F-6). Thus, in this mode of applying the present invention, after fingerprint verification, not only is the door unlocked, but the speed of the car is automatically controlled below a certain pre-fixed level on the basis of the personal information about the user to whom the fingerprint belongs. Therefore, the system is free from the cumbersome process of having to reset the upper driving speed limit every time.

In the above-described Mode 2 of applying the present invention, the fingerprint register memory **41** which is used for storing the fingerprints of the drivers, and the fingerprint matching unit **42** are located in the control circuit **4c** in the car. But alternatively they can be located in the remote controller **3** and matching can be done in the remote controller.

Apart from the above-described example, the following applications are possible examples of limiting or controlling the operation of machines or systems after the verification of the person through a fingerprint.

- (1) Applications in which access is limited or the functions are limited or controlled: Personal computers, Internet communication devices, multimedia terminals, digital broadcast receiver-decoders, digital recorders, videotape recorders, digital cameras, copiers, game machines, portable terminals, domestic telephones, and electronic clinical charts.

- 09424685-011100
- (2) Applications in which data are gathered or memorized, and dealt with differently depending on the identity of the individual: telephones, game machines, cash dispensers, ATMs, automatic coin operated dispensers, home banking systems, pinball game card terminals, money-related electronic equipment (electronic cash dispensers, electronic balance display machines, electronic wallets, and electronic safes), and POS terminals.

In the newly invented electronic information recording/processing devices and machine and system control devices equipped with non-optical thin surface pressure input type fingerprint sensors, the user is verified by fingerprint matching. As such, they have a number of advantages, including improved security such as prevention of unauthorized use or impersonation by persons who resort to theft or fraud, the elimination of the risk of counterfeit passwords, the need to remember a code or ID, or the risk of being decoded by computers, etc., unlike conventional devices which use code numbers, passwords, or IDs. Apart from this, the newly invented devices have the advantages mentioned below.

- (1) In the newly invented information recording/processing devices equipped with thin surface pressure input type fingerprint sensors, the fingerprint sensor itself is very thin, lightweight and compact. As such, it is convenient as

a portable device. If they can be incorporated into IC's they can be used in citizen's or social security cards issued by a national or local government, pensioner's booklets, health insurance card, passports, library cards, credit cards, and other similar cards and records. Even if such a card is lost, there is no risk of its being used by an unauthorized person.

Although these are not as thin as IC cards, because they are small in size, lightweight and compact, they can be used in remote controllers or terminals of various electronic devices and consumer apparatuses.

If a display unit is provided in the above-described card, booklet, or terminal, the data stored inside can be used freely at any time, by the user or by authorized persons, off line.

- (2) In the newly invented information machine/system control device equipped with a thin surface pressure input type fingerprint sensor, the fingerprint sensor itself is extremely thin, light and compact. As such, the sensor can be implemented without modifying the design or structure of the device. Another major advantage is that access to the machine or system operated by a user can be limited, the functions and operations of the system can be limited or controlled, and collection and management of the data about

the use of the system can be automatically accumulated, all in relation to the individual information such as sex, age, the organization to which the person specified by the fingerprint belongs, etc. Therefore, there is no need to separately set the conditions of use or to tally the data every time.

- (3) The fingerprint sensor used in Mode 2 of applying the present invention need not be a thin surface pressure input type fingerprint sensor in certain applications (game machines placed at game centers and cash dispensers in banks, for example) as long as it serves the purposes of user identification and data collection and storage.

#### Industrial Applicability

The present invention can also be effectively used in a portable small lightweight unit such as a card, terminal, etc. in devices that require user verification. After verifying the user, the operation or functions of the apparatus can be limited or controlled.

What is Claimed is

1. A flat information recording/processing device that is characterized by having a thin sensor for detecting fingerprints and a conversion unit that converts the fingerprint data detected by the fingerprint sensor into digital electrical signals.

2. A flat information recording/processing device that is characterized by having a thin sensor for detecting fingerprints, a memory unit that stores the fingerprint data detected by the sensor as registered fingerprint data, and a fingerprint matching unit that compares newly detected fingerprint data with the registered fingerprint data stored in the memory.

3. A flat information recording/processing device that is characterized by having a thin sensor for detecting fingerprints, a memory unit that stores the fingerprint data detected by the sensor as registered fingerprint data, and a fingerprint matching unit that compares newly detected fingerprint data with the registered fingerprint data stored in the memory and outputs a "Yes" signal when there is a match of the fingerprints in the comparison.

4. A flat information recording/processing device described in one of the claims 1-3 above and which is characterized by having a second memory unit in which specific information about each user is stored.



5. A flat information recording/processing device described in one of the claims 1-4 above in which the fingerprint sensor is a surface pressure input type sensor.

6. A flat information recording/processing device that has a portable information recording unit equipped with a thin sensor for detecting fingerprints, a first memory unit that stores the fingerprint data detected by the sensor as registered fingerprint data and a second memory unit in which user-specific information is kept, and an information processing unit that is equipped with a fingerprint matching unit that compares newly detected fingerprint data with the registered fingerprint data stored in the first memory unit and a display unit that displays the user-specific information stored in the above-mentioned second memory unit and information processing unit which can display the above information in the above display when there is a match of fingerprints.

7. The information recording/processing unit described in claim 6 above in which the information processing unit is capable of reading out, writing in, and rewriting the information stored in the second memory unit of the information recording unit.

8. The information recording/processing unit described in claim 6 or 7 above in which the information processing unit is further equipped with a second thin fingerprint sensor for detecting fingerprints and a third memory unit that stores the

fingerprint data detected by the second fingerprint sensor as registered fingerprint data.

9. A machine/system control device that is characterized by having a fingerprint sensor for detecting finger prints, a fingerprint matching unit that compares fingerprint data detected by the above-mentioned sensor with pre-registered fingerprint data, and a control mechanism that controls the functions or operation of the machine/system according to the user-specific information specified by the fingerprint, when there is a match of fingerprints.

10. A machine/system control device that is characterized by having a fingerprint sensor for detecting fingerprints, a first memory unit that stores the fingerprint data detected by the sensor as registered fingerprint data, a fingerprint matching unit that compares fingerprint data detected by the above-mentioned sensor with the registered fingerprint data stored in the memory unit, and a control mechanism that controls the functions or operation of the machine/system according to the user-specific information specified by the fingerprint, when there is a match of fingerprints.

11. A machine/system control device that is specified in claim 9 or 10 above in which the user-specific information is age.

12. A machine/system control device that is specified in claim 9, 10 or 11 above in which the fingerprint sensor is a surface pressure input type fingerprint sensor.

00110-58942460

Abstract of the Disclosure

The first objective of the present invention is to provide a thin, lightweight and compact information recording/processing device with a user verification function. The second objective is to provide a machine/system control device that is capable of limiting, controlling, or managing the functioning and operation of the machine or system according to user-specific information after authenticating the user through verification of a fingerprint.

To achieve the above-mentioned objectives, the newly invented device is provided with a surface pressure input type thin fingerprint sensor, a memory unit in which the fingerprint data of users are pre-recorded, and a fingerprint matching unit in which the data of the newly input fingerprint data is compared with pre-registered fingerprint data. In addition to this, personal information specific to all users whose fingerprint data have been registered is kept ready so that when there is a match of the fingerprints, the operation or functions of the machine/system can be limited or controlled according to the personal information.

FIG. 1A

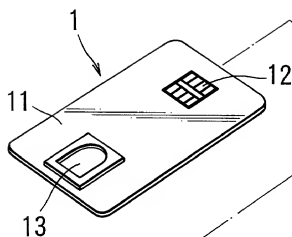
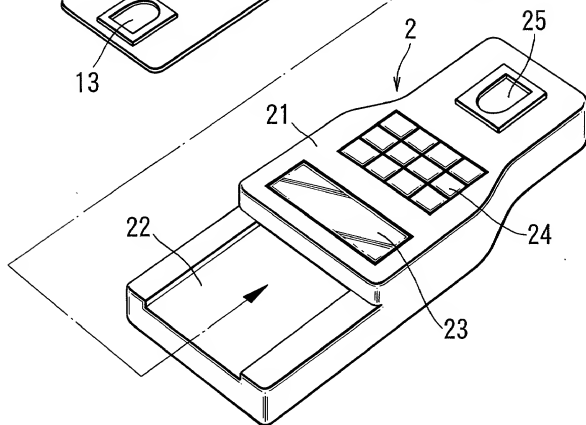


FIG. 1B



04-2465-0110

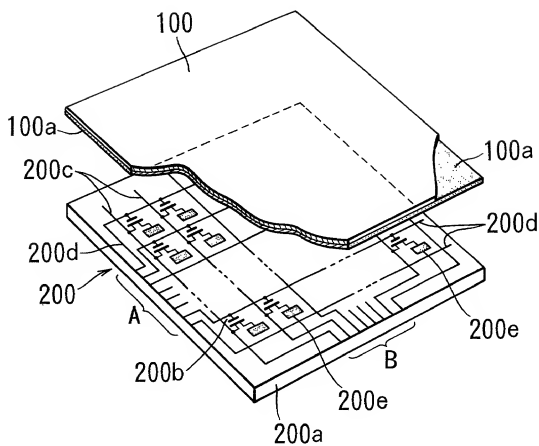


FIG. 3

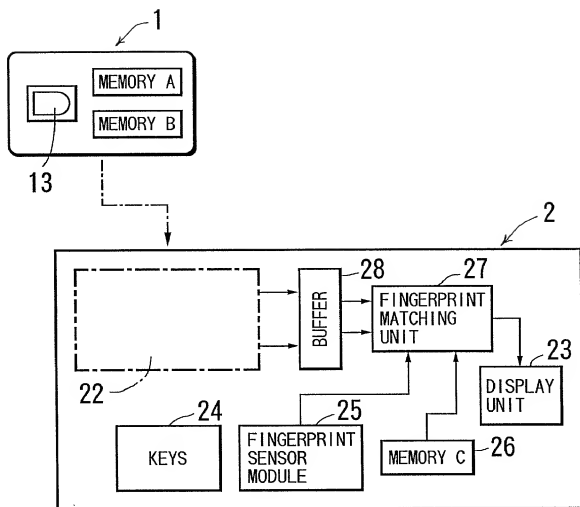


FIG. 4

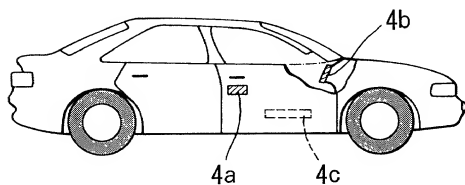


FIG. 5

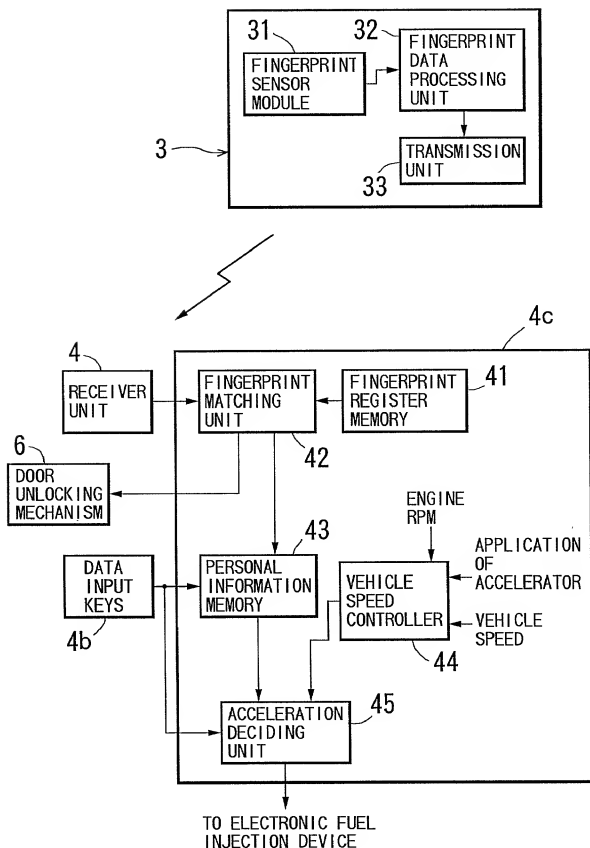




FIG. 6A

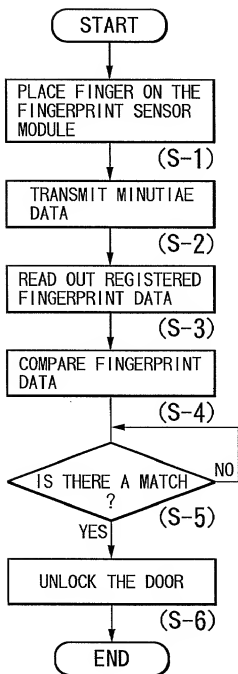
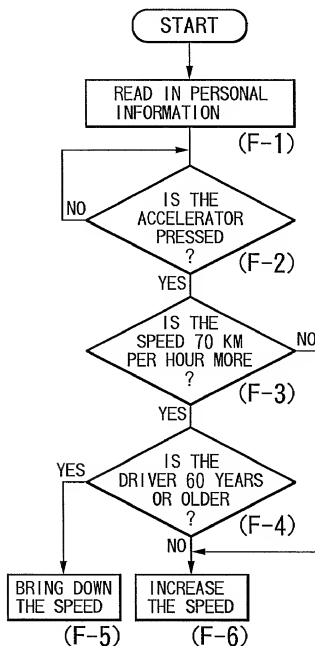


FIG. 6B



PTO/SB/106 (8-86)

Approved for use through 9/30/96. OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Declaration and Power of Attorney For Patent Application

## 特許出願宣言書及び委任状

## Japanese Language Declaration

## 日本語宣言書

下"の氏名の発明者として、私は以下の通り宣言します。

As a below named inventor, I hereby declare "that":

私の住所、私営部、国籍は下記の私の氏名の後に記載された通りです。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

INFORMATION RECORDING/PROCESSING DEVICES  
AND MACHINE/SYSTEM CONTROLLING DEVICES  
WITH FINGERPRINT SENSORS

上記発明の明細書（下記の欄でx印がついていない場合は、本書に添付）は、

the specification of which is attached hereto unless the following box is checked:

☐ 月 日に提出され、米国出願番号または特許協定条約国際出願番号を \_\_\_\_\_ とし、  
（該当する場合） \_\_\_\_\_ に訂正されました。☒ was filed on November 29, 1999  
as United States Application Number or  
PCT International Application Number  
09/424,685 and was amended on  
\_\_\_\_\_ (if applicable).

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則典第37編第1章56項に定義されるとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# Japanese Language Declaration (日本語宣言書)

私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基づき下記の、米国外の国の少なくとも一ヶ国を指定している特許協力条約365(a)項に基づく国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している。本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。

## Prior Foreign Application(s)

外国での先行出願

(Number) (番号)	(Country) (国名)
------------------	-------------------

(Number) (番号)	(Country) (国名)
------------------	-------------------

私は、第35編米国法典119条(e)項に基いて下記の米国外特許出願規定に記載された権利をここに主張いたします。

(Application No.) (出願番号)	(Filing Date) (出願日)
-----------------------------	------------------------

私は、下記の米国法典第35編120条に基いて下記の米国外特許出願に記載された権利、又は米国を指定している特許協力条約365条(c)項に基づく権利をここに主張します。また、本出願の各請求範囲の内容が米国法典第35編112条第1項又は特許協力条約で規定された方法で先行する米国外特許出願に開示されていない限り、その先行米国外特許提出日以降で本出願書の日付前または特許協力条約国際提出日までで期間中に入手された、連邦規則法典第37編1.56項で定義された特許資格の有無に関する重要な情報について開示義務があることを認識しています。

(Application No.) (出願番号)	(Filing Date) (出願日)
-----------------------------	------------------------

(Application No.) (出願番号)	(Filing Date) (出願日)
-----------------------------	------------------------

私は、私自身の知識に基づいて本宣言書中で私が行う表明が真実であり、かつ私の入手した情報と私の信じていることに基づく表明が全て真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方により処罰されること、そしてそのような故意による虚偽の表明を行えば、出願した、又は既に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby claim foreign priority under Title 35, United States Code, Section 119 (a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

## Priority Not Claimed

優先権主張なし

(Day/Month/Year Filed) (出願年月日)	<input type="checkbox"/>
-----------------------------------	--------------------------

(Day/Month/Year Filed) (出願年月日)	<input type="checkbox"/>
-----------------------------------	--------------------------

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.) (出願番号)	(Filing Date) (出願日)
-----------------------------	------------------------

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Status: Patented, Pending, Abandoned) (現況: 特許許可済、係属中、放棄済)
---

(Status: Patented, Pending, Abandoned) (現況: 特許許可済、係属中、放棄済)
---

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Japanese Language Declaration  
(日本語宣言書)

委任状: 私は下記の発明者として、本出願に関する一切の手続きを米特許審判局に対して遂行する弁護士または代理人として、下記の者を指名いたします。(弁護士、または代理人の氏名及び登録番号を明記のこと)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (first name and registration number)

書類送付先

John S. Beulick, Reg. No. 33,338

Alan L. Cassel, Reg. No. 35,842

Send Correspondence to:

Alan L. Cassel

Armstrong Teasdale LLP

One Metropolitan Square, Suite 2600

St. Louis, Missouri 63102

直接電話連絡先: (名前及び電話番号)

Direct Telephone Calls to: (name and telephone number)

Alan L. Cassel, 314.621.5070

唯一または第一発明者名

Full name of sole or first inventor

Teruhiko TAMORI

発明者の署名

日付

Inventor's signature

Date

Teruhiko Tamori

1999/12/27

住所

Residence

9-31, Koyata 3-chome, Iruma-shi,

Saitama 358-0026 Japan

国籍

Citizenship

Japan

私書箱

Post Office Address

9-31, Koyata 3-chome,

Iruma-shi, Saitama 358-0026 Japan

第二共同発明者

Full name of second joint inventor, if any

第二共同発明者

日付

Second inventor's signature

Date

住所

Residence

国籍

Citizenship

私書箱

Post Office Address

(第三以降の共同発明者についても同様に記載し、署名をすること)

(Supply similar information and signature for third and subsequent joint inventors.)